

147 RECEIVED 30 MAR 2006

FORM PTO 1390 (REV 5-93)		US DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTORNEY DOCKET NUMBER 2005-0993A
TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. §371			U.S. APPLICATION NO. (if known, see 37 CFR 1.5) 10/539,245
International Application No. PCT/JP2003/017032	International Filing Date December 26, 2003	Priority Date Claimed December 27, 2002	
Title of Invention SUBSTRATE HOLDING MECHANISM, SUBSTRATE POLISHING APPARATUS AND SUBSTRATE POLISHING METHOD			
Applicant(s) For DO/EO/US Tetsuji TOGAWA et al.			
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:			
<p>1. <input type="checkbox"/> This is a <b>FIRST</b> submission of items concerning a filing under 35 U.S.C. §371.</p> <p>2. <input checked="" type="checkbox"/> This is a <b>SECOND</b> or <b>SUBSEQUENT</b> submission of items concerning a filing under 35 U.S.C. §371.</p> <p>3. <input type="checkbox"/> This express request to begin national examination procedures (35 U.S.C. §371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. §371(b) and PCT Articles 22 and 39(1).</p> <p>4. <input type="checkbox"/> A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.</p> <p>5. <input type="checkbox"/> A copy of the International Application as filed (35 U.S.C. §371(c)(2))</p> <p>    a. <input type="checkbox"/> is transmitted herewith (required only if not transmitted by the International Bureau).</p> <p>    b. <input type="checkbox"/> has been transmitted by the International Bureau.</p> <p>    c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US)</p> <p>6. <input type="checkbox"/> A translation of the International Application into English (35 U.S.C. §371(c)(2)).</p> <p>7. <input type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. §371(c)(3)).</p> <p>    a. <input type="checkbox"/> are transmitted herewith (required only if not transmitted by the International Bureau).</p> <p>    b. <input type="checkbox"/> have been transmitted by the International Bureau.</p> <p>    c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.</p> <p>    d. <input type="checkbox"/> have not been made and will not be made.</p> <p>8. <input type="checkbox"/> A translation of the amendments to the claims under PCT Article 19.</p> <p>9. <input checked="" type="checkbox"/> An (EXECUTED) oath or declaration of the inventor(s) (35 U.S.C. §371(c)(4)). <b>ATTACHMENT F</b></p> <p>10. <input type="checkbox"/> A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. §371(c)(5)).</p> <p><b>Items 11. to 14. below concern other document(s) or information included:</b></p> <p>11. <input type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98.</p> <p>12. <input checked="" type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.</p> <p><b>ATTACHMENT G</b></p> <p>13. <input type="checkbox"/> A <b>FIRST</b> preliminary amendment.</p> <p>    <input type="checkbox"/> A <b>SECOND</b> or <b>SUBSEQUENT</b> preliminary amendment.</p> <p>14. <input checked="" type="checkbox"/> Other items or information: Notification of Missing Requirements under 35 U.S.C. 371 in the United States Designated/Elected Office (DO/EO/US) - <b>ATTACHMENT H</b></p>			

THE COMMISSIONER IS AUTHORIZED  
TO CHARGE ANY DEFICIENCY IN THE  
FEES FOR THIS PAPER TO DEPOSIT  
ACCOUNT NO. 23-0975

<b>U.S. APPLICATION NO.</b> (if known, see 37 CFR 1.5) 10/539,245		<b>INTERNATIONAL APPLICATION NO.</b> PCT/JP2003/017032		<b>ATTORNEY'S DOCKET NO.</b> 2005-0993A							
15. <input checked="" type="checkbox"/> The following fees are submitted  Basic National Stage Fee ..... \$300.00 National Stage Search Fee ..... \$500.00 National Stage Examination Fee ..... \$200.00 Specification/drawings in excess of 100 pages ( units of 50 x \$250.00) = ..... \$				<table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td style="width:50%; text-align: center;">CALCULATIONS</td> <td style="width:50%; text-align: center;">PTO USE ONLY</td> </tr> <tr> <td colspan="2" style="height: 40px;"></td> </tr> <tr> <td style="text-align: right;">\$</td> <td></td> </tr> </table>		CALCULATIONS	PTO USE ONLY			\$	
CALCULATIONS	PTO USE ONLY										
\$											
<b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b>				\$							
Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input checked="" type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)).				\$130.00							
Claims	Number Filed	Number Extra	Rate								
Total Claims	-20 =		X \$50.00	\$							
Independent Claims	- 3 =		X \$200.00	\$							
Multiple dependent claim(s) (if applicable)			+ \$360.00	\$							
<b>TOTAL OF ABOVE CALCULATIONS =</b>				\$130.00							
<input type="checkbox"/> Small Entity Status is hereby asserted. Above fees are reduced by 1/2.				\$							
<b>SUBTOTAL =</b>				\$130.00							
Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				+	\$						
<b>TOTAL NATIONAL FEE =</b>				\$							
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40 per property +				\$40.00							
<b>TOTAL FEES ENCLOSED =</b>				\$170.00							
				Amount to be refunded	\$						
				Amount to be charged	\$						
a. <input checked="" type="checkbox"/> A check in the amount of <u>\$170.00</u> to cover the above fees is enclosed. A duplicate copy of this form is enclosed. b. <input type="checkbox"/> Please charge my Deposit Account No. 23-0975 in the amount of \$_____ to cover the above fees. A duplicate copy of this sheet is enclosed. c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>23-0975</u> .											
<b>NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.</b>											
19. CORRESPONDENCE ADDRESS   <div style="text-align: center; margin-top: 20px;"> <b>CUSTOMER NO.</b>  <b>000513</b> </div>			By: <div style="text-align: center; margin-top: 10px;">           Nils E. Pedersen ,            Registration No. 33,145   <b>WENDEROTH, LIND &amp; PONACK, L.L.P.</b>            2033 "K" Street, N.W., Suite 800            Washington, D.C. 20006-1021            Phone: (202) 721-8200            Fax: (202) 721-8250             March 29, 2006         </div>								

04/03/2006 GFREYI 00000126 10539245  
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[CHECK NO. 73265]  
 [2005-0993A]



## UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
 United States Patent and Trademark Office  
 Address: COMMISSIONER FOR PATENTS  
 P.O. Box 1450  
 Alexandria, Virginia 22313-1450  
 www.uspto.gov

U.S. APPLICATION NUMBER NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
10/539,245	Tetsuji Togawa	2005-0993A

INTERNATIONAL APPLICATION NO.
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PCT/JP03/17032

I.A. FILING DATE	PRIORITY DATE
12/26/2003	12/27/2002

513  
 WENDEROTH, LIND & PONACK, L.L.P.  
 2033 K STREET N. W.  
 SUITE 800  
 WASHINGTON, DC 20006-1021

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MAR 6 2006

WENDEROTH, LIND &amp; PONACK

CONFIRMATION NO. 9257

371 FORMALITIES LETTER



\*OC000000018158580\*

Date Mailed: 03/01/2006

### NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as a Designated / Elected Office (37 CFR 1.495).

- Copy of the International Application filed on 06/16/2005
- Copy of the International Search Report filed on 06/16/2005
- Preliminary Amendments filed on 06/16/2005
- Information Disclosure Statements filed on 06/16/2005
- Oath or Declaration filed on 06/16/2005
- Request for Immediate Examination filed on 06/16/2005
- U.S. Basic National Fees filed on 06/16/2005
- Priority Documents filed on 06/16/2005

The applicant needs to satisfy supplemental fees problems indicated below.

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date. The current oath or declaration does not comply with 37 CFR 1.497(a) and (b) in that it:
  - is not executed in accordance with either 37 CFR 1.66 or 37 CFR 1.68.
- To avoid abandonment, a surcharge (for late submission of filing fee, search fee, examination fee or oath or declaration) as set forth in 37 CFR 1.492(h) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.

#### SUMMARY OF FEES DUE:

Total additional fees required for this application is \$130 for a Large Entity:

ATTACHMENT H

- \$130 Surcharge.

**ALL OF THE ITEMS SET FORTH ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTHS FROM THE DATE OF THIS NOTICE OR BY 32 MONTHS FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.**

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

*A copy of this notice **MUST** be returned with the response.*

DARRELL C COTTMAN

Telephone: (703) 308-9140 EXT 203

**PART 1 - ATTORNEY/APPLICANT COPY**

U.S. APPLICATION NUMBER NO.	INTERNATIONAL APPLICATION NO.	ATTY. DOCKET NO.
10/539,245	PCT/JP03/17032	2005-0993A

FORM PCT/DO/EO/905 (371 Formalities Notice)